

**INFORMATION DISCLOSURE CITATION**  
(Use several sheets if necessary)

Docket Number (Optional)  
**CHA920010007US1**

Application Number  
**10/047,577**

Applicant(s)  
**Davies et al.**

Filing Date  
**January 15, 2002**

Group Art Unit  
**3629**

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>gn</i>		US 6,171,109 B1	01/2001	Ohsuga			
		6,122,633	09/2000	Leymann et al.			
		6,023,572	02/2000	Lautzenheiser et al.			
		6,021,401	02/2000	Oravetz et al.			
		5,960,420	09/1999	Leymann et al.			
		5,930,762	07/1999	Masch			
		5,745,901	04/1998	Entner et al.			
		5,655,086	08/1997	Jury et al.			
		5,493,489	02/1996	Tamaki et al.			

11002 U.S. PTO  
10/047,577  
01/15/02



**FOREIGN PATENT DOCUMENTS**

REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						YES	NO

**OTHER DOCUMENTS** (Including Author, Title, Date, Pertinent Pages, Etc.)


EXAMINER

*Dembyuyen*

DATE CONSIDERED

*4/1/05*

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

#2

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Davies et al. : Date: January 15, 2002

Serial Number: Concurrent : Group Art Unit: Unknown

Filed: Concurrent : Examiner: Unknown

Title: Separation of Duties for Business  
Process Risk Management : IBM CORPORATION  
Intellectual Property Law  
: MD90/201-1  
8501 IBM Drive  
: Charlotte, NC 28262

11002 U.S. Pro  
10/047577  
01/15/02

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**INFORMATION DISCLOSURE STATEMENT (IDS) UNDER 37 CFR 1.97**

**Commissioner For Patents**  
**Washington, D. C. 20231**

Dear Sir:

The attached Form PTO-1449, and any attached foreign patent office search report, provides a listing of information which may be relevant to the subject application. This IDS is not intended as a representation that better art is not available, nor that the information provided is prior art.

This IDS is submitted under:

37 CFR 1.97(b) - No Fee.

37 CFR 1.97(c) - No Fee. Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application. This communication is dated \_\_\_\_\_, which is not more than 3 months prior to the mailing of this statement.

37 CFR 1.97(c) - Fee.

37 CFR 1.97(d) - Fee, Certification & Petition.

The Commissioner is authorized to charge payments of any associated fees required under 37 CFR 1.17(p) and (i) (1) to Deposit Account No. 09-0469 (IBM).

Respectfully submitted,

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